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4 **Mitochondrial respiratory states and rates**

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14 Running title: Mitochondrial states and rates

15  
16 **As the knowledge base and importance of mitochondrial physiology to evolution, health, and**  
17 **disease expands, the necessity for harmonizing the terminology concerning mitochondrial**  
18 **respiratory states and rates has become increasingly apparent. The chemiosmotic theory**  
19 **establishes the mechanism of energy transformation during the process of oxidative**  
20 **phosphorylation (OXPHOS), providing the theoretical foundation of mitochondrial physiology**  
21 **and bioenergetics. We follow guidelines of the International Union of Pure and Applied Chemistry**  
22 **(IUPAC) on terminology, extended by considerations of mitochondrial respiratory control,**  
23 **metabolic flows and fluxes. The OXPHOS-capacity is respiration measured at kinetically-**  
24 **saturating concentrations of adenosine diphosphate and inorganic phosphate. The oxidative**  
25 **electron transfer-capacity reveals a possible limitation of OXPHOS-capacity mediated by the**  
26 **phosphorylation-pathway and is measured as noncoupled respiration at optimum concentrations**  
27 **of external uncouplers. Intrinsically uncoupled oxygen consumption compensates for ion leaks,**  
28 **particularly the proton leak. This LEAK-respiration is studied in the absence of ADP or by**  
29 **inhibition of the phosphorylation-pathway. Uniform standards for evaluation of respiratory states**  
30 **and rates will ultimately contribute to reproducibility between laboratories and thus support the**  
31 **development of databases of mitochondrial respiratory function in species, tissues, and cell types.**  
32 **Clarity of concept and consistency of nomenclature facilitate effective transdisciplinary**  
33 **communication, education, and ultimately further discovery.**

34  
35 *Keywords:* Mitochondrial respiratory control, coupling control; mitochondrial preparations;  
36 protonmotive force: *pmF*; uncoupling; oxidative phosphorylation: OXPHOS; electron transfer: ET;  
37 electron transfer system: ETS; proton leak, ion leak and slip compensatory state: LEAK; residual oxygen  
38 consumption: ROX; State 2; State 3; State 4; normalization; flow; flux; oxygen: O<sub>2</sub>; nicotinamide  
39 adenine dinucleotide: NADH

40  
41  
42 **Harmonization of nomenclature**

43  
44 Mitochondria are essential cellular, membrane-enclosed organelles that perform a large range of  
45 functions critical for cell viability. Their best-known function is to synthesize adenosine triphosphate  
46 (ATP) *via* oxidative phosphorylation (OXPHOS), however, they also have essential functions related to  
47 cellular metabolism and cell-signalling. This importance has led to an increasing body of research  
48 devoted to better understanding mitochondrial respiratory function. However, the dissemination of  
49 fundamental knowledge and implementation of novel discoveries require communication with a  
50 commonly understood terminology. Reproducibility of experimental procedures also depends on  
51 strictly-defined conditions and harmonization of shared research protocols. Unfortunately, a consensus  
52 on nomenclature and conceptual coherence is currently missing in the expanding field of mitochondrial  
53 physiology and bioenergetics. The use of vague, ambiguous, or inconsistent terminology likely  
54 contributes to confusion, miscommunication, and the conversion of valuable signals to wasteful noise.

55 Thus, complementary to quality control a conceptual framework is required to standardise and  
56 harmonise terminology and methodology.

57 To fill this communication gap, this perspective aims to harmonize nomenclature and addresses  
58 the terminology on coupling states and fluxes through metabolic pathways of aerobic energy  
59 transformation in mitochondrial (mt) preparations. In an attempt to establish a transdisciplinary  
60 nomenclature, we strive to incorporate a concept-driven terminology of bioenergetics with explicit,  
61 easily recognizable terms and symbols that define mitochondrial respiratory states and rates. The  
62 consistent use of terms and symbols will facilitate transdisciplinary communication for quantitative  
63 modelling and data repositories on bioenergetics and mitochondrial physiology<sup>1-3</sup>.

## 65 Coupling in mitochondrial respiration

66  
67 **Respiration and fermentation.** Aerobic respiration is the O<sub>2</sub> flux in (1) OXPHOS with catabolic  
68 reactions leading to O<sub>2</sub> consumption coupled to phosphorylation of ADP to ATP, plus (2) O<sub>2</sub> consuming  
69 reactions apart from OXPHOS. Coupling of electron transfer (ET) to ADP→ATP conversion is mediated  
70 by vectorial translocation of protons across the mitochondrial inner membrane (mtIM). Proton pumps  
71 generate, or utilize the electrochemical protonmotive force, *pmF* (Fig. 1). The *pmF* is the sum of two  
72 partial forces, the electric force (electric potential difference across the mtIM) and chemical force  
73 (proton chemical potential difference, related to  $\Delta\text{pH}$ )<sup>4,5</sup>. Cell respiration is thus distinguished from  
74 fermentation: (1) Compartmental coupling in vectorial OXPHOS contrasts to substrate-level  
75 phosphorylation in fermentation without requirement for O<sub>2</sub><sup>4,5</sup>. (2) Redox balance is maintained in  
76 aerobic respiration by O<sub>2</sub> as the electron acceptor supplied externally, whereas fermentation is  
77 characterized by internal electron acceptors formed in intermediary metabolism (Fig. 1a).

78  
79 **Respiratory states and respiratory capacity.** Cell membranes include organellar membranes and the  
80 plasma membrane, which separates the intracellular milieu from the extracellular environment (Fig. 1a).  
81 The plasma membrane consists of a lipid bilayer with embedded proteins and attached organic  
82 molecules that collectively control the selective permeability of ions, organic molecules and particles,  
83 limiting the passage of many water-soluble mitochondrial substrates and inorganic ions. Such limitations  
84 are overcome in mitochondrial preparations: plasma membranes are removed or selectively  
85 permeabilized, while mitochondrial structural and functional integrity is maintained<sup>6</sup>. In mt-  
86 preparations, extramitochondrial concentrations of fuel substrates, ADP, ATP, inorganic phosphate (P<sub>i</sub>),  
87 and cations including H<sup>+</sup> can be controlled to determine mitochondrial respiratory function under a set  
88 of conditions defined as coupling control states (Tab. 1). In substrate-uncoupler-inhibitor titration  
89 (SUIT) protocols, substrate combinations and specific inhibitors of ET-pathway enzymes are used to  
90 obtain defined pathway control states<sup>7,8</sup> (Fig. 1b). Pathway and coupling control states are  
91 complementary, since mt-preparations depend on (1) an exogenous supply of pathway-specific fuel  
92 substrates and O<sub>2</sub>, and (2) exogenous control of phosphorylation<sup>9</sup>.

93 Reference respiratory states are established with kinetically-saturating substrate concentrations  
94 for analysis of mitochondrial respiratory capacities. These delineate — comparable to channel capacity  
95 in information theory<sup>10</sup> — the upper limit of O<sub>2</sub> consumption rates. Intracellular conditions in living  
96 cells may deviate from these experimental states. Further information is obtained in kinetic studies of  
97 flux as a function of fuel substrate concentration, [ADP], or [O<sub>2</sub>] in the range between kinetically-  
98 saturating concentrations and anoxia<sup>11</sup>.

99  
100 **Phosphorylation.** The term phosphorylation is used generally in many contexts, *e.g.*, protein  
101 phosphorylation. Phosphorylation in the context of OXPHOS is defined as phosphorylation of ADP by  
102 P<sub>i</sub> to form ATP, coupled to oxidative electron transfer (Fig. 1c,d). The ET- and phosphorylation-  
103 pathways comprise coupled components of the OXPHOS-system. P/O is the ratio of P<sub>i</sub> to atomic oxygen  
104 consumed<sup>9</sup>. The symbol, P<sub>»</sub>, is introduced here as more discriminating and specific than P (Fig. 1c). The  
105 symbol P<sub>»</sub> indicates the endergonic (uphill) direction ADP→ATP, and likewise P<sub>«</sub> the corresponding  
106 exergonic (downhill) hydrolysis ATP→ADP (Fig. 2).  $J_{P_{»}}$  and  $J_{P_{«}}$  are the corresponding fluxes of ADP  
107 phosphorylation and ATP hydrolysis, respectively. P<sub>»</sub> refers to phosphorylation driven by proton  
108 translocation (Fig. 1d)<sup>12</sup>, but may also involve substrate-level phosphorylation in the mitochondrial  
109 matrix (succinyl-CoA ligase, monofunctional C1-tetrahydrofolate synthase), cytosol (phosphoglycerate  
110 kinase and pyruvate kinase), or both (phosphoenolpyruvate carboxykinase isoforms 1 and 2). Kinase

111 cycles are involved in intracellular energy transfer and signal transduction for regulation of energy  
112 flux<sup>13</sup>.

113

## 114 **Respiratory coupling control states: concept and nomenclature**

115

116 **Concept-driven terminology.** Respiratory control refers to the ability of mitochondria to adjust O<sub>2</sub> flux  
117 in response to external control signals by engaging various mechanisms of control and regulation<sup>14</sup>.  
118 Respiratory control is monitored in mt-preparations under conditions defined as ‘respiratory states’,  
119 preferentially under near-physiological conditions of temperature, pH, and medium ionic composition.  
120 When phosphorylation of ADP to ATP is stimulated or depressed, an increase or decrease is observed  
121 in electron transfer. This is measured as O<sub>2</sub> flux in respiratory coupling states of intact mitochondria  
122 (‘controlled states’ in the classical terminology of bioenergetics). Alternatively, the coupling of electron  
123 transfer with phosphorylation is diminished by uncouplers, which eliminates control by P<sub>»</sub> and increases  
124 respiratory rate (noncoupled or ‘uncontrolled state’; Tab. 1).

125 Coupling efficiency is diminished by both intrinsic and extrinsic uncoupling. Uncoupling of  
126 mitochondrial respiration is a general term comprising diverse mechanisms. Differences of terms —  
127 uncoupled *vs.* noncoupled — are easily overlooked, although they relate to different meanings of  
128 uncoupling (Tab. 2).

129 To extend the classical nomenclature on mitochondrial states (State 1 to 5)<sup>15</sup> by a concept-driven  
130 terminology that explicitly incorporates information on the meaning of respiratory states, the  
131 terminology must be general, and not restricted to any particular experimental protocol or type of  
132 mitochondrial preparation<sup>16</sup>. Standard respiratory coupling states are obtained while maintaining a  
133 defined ET-pathway state with constant fuel substrates and inhibitors of specific branches of the ET-  
134 pathway. The focus of concept-driven nomenclature is primarily the theoretical *why*, along with  
135 clarification of the experimental *how*<sup>17</sup>.

136 In the three coupling states — LEAK, OXPHOS, and ET — the corresponding respiratory rates  
137 are abbreviated as *L*, *P*, and *E*, respectively (Fig. 2a). The *pmF* is *maximum* in the LEAK-state of coupled  
138 mitochondria, driven by LEAK-respiration at a minimum back-flux of cations to the matrix  
139 compartment, *high* in the OXPHOS-state when it drives phosphorylation, and *low* in the ET-state when  
140 uncouplers short-circuit the proton cycle (Tab. 1).

141

142 **LEAK-state - Fig. 2b.** The LEAK-state is the state of mitochondrial respiration when O<sub>2</sub> flux mainly  
143 compensates for ion leaks in the absence of ATP synthesis at kinetically-saturating concentrations of O<sub>2</sub>  
144 and respiratory fuel substrates. Stimulation of phosphorylation is prevented by (1) absence of ADP and  
145 ATP; (2) maximum ATP/ADP ratio (State 4); or (3) inhibition of the phosphorylation-pathway with  
146 inhibitors of F<sub>1</sub>F<sub>0</sub>-ATPase (oligomycin; Omy) or adenine nucleotide translocase (carboxyatractyloside;  
147 Tab. 1). The chelator EGTA is added to mt-respiration media to bind free Ca<sup>2+</sup>, thus limiting cation  
148 cycling. LEAK-respiration is the intrinsically uncoupled O<sub>2</sub> consumption without addition of  
149 uncouplers. The LEAK-rate is a function of respiratory state, hence it depends on (1) the barrier function  
150 of the mtIM (‘leakiness’), (2) the electrochemical potential differences and concentration differences  
151 across the mtIM, and (3) the H<sup>+</sup>/O<sub>2</sub> ratio of the ET-pathway (Fig. 1b).

152 State 4 is a LEAK-state after depletion of ADP<sup>15</sup>. O<sub>2</sub> flux in State 4 overestimates LEAK-  
153 respiration if ATP hydrolysis activity recycles ATP to ADP,  $J_{P«}$ , which stimulates respiration coupled  
154 to phosphorylation,  $J_{P»} > 0$ . Inhibition of the phosphorylation-pathway by oligomycin ensures that  $J_{P»} =$   
155 0 (State 4o; Tab. 1).

156

157 **OXPHOS-state - Fig. 2c.** At any given ET-pathway state, the OXPHOS-state establishes conditions to  
158 measure OXPHOS-capacity as a reference, at kinetically-saturating concentrations of O<sub>2</sub>, as well as  
159 respiratory fuel and phosphorylation substrates. Respiratory OXPHOS-capacities, *P*, are related to ADP-  
160 phosphorylation capacities by the ATP yield per O<sub>2</sub> (Fig. 1c).

161 The OXPHOS-state is compared with State 3, which is the state stimulated by addition of fuel  
162 substrates while the ADP concentration in the preceding State 2 (see below) is still ‘high’ and supports  
163 coupled energy transformation in isolated mitochondria in a closed respirometric chamber<sup>15</sup>. Repeated  
164 ADP titrations re-establish State 3. Starting at experimental O<sub>2</sub> concentrations of air-saturation (193 or  
165 238 μM O<sub>2</sub> at 37 °C or 25 °C and sea level at 1 atm or 101.32 kPa, and an O<sub>2</sub> solubility of respiration  
166 medium at 0.92 times that of pure water)<sup>18</sup>, the ADP concentrations must be low enough (typically 100

167 to 300  $\mu\text{M}$ ) to allow phosphorylation to ATP without  $\text{O}_2$  depletion during the transition to State 4. In  
 168 contrast, kinetically-saturating ADP concentrations are usually 10-fold higher than 'high ADP' (e.g., 2.5  
 169 mM) supporting OXPHOS capacity in isolated mitochondria<sup>11</sup>.

170  
 171 **Electron transfer-state - Fig. 2d.** The ET-state is defined as the *noncoupled* state with kinetically-  
 172 saturating concentrations of  $\text{O}_2$  and respiratory substrate, at the optimum concentration of exogenous  
 173 uncoupler for maximum  $\text{O}_2$  flux (ET-capacity). Uncouplers are weak lipid-soluble acids that function  
 174 as protonophores. These disrupt the barrier function of the mtIM and thus short-circuit the protonmotive  
 175 system, functioning like a clutch in a mechanical device. As a consequence of the nearly collapsed *pmF*,  
 176 the driving force is insufficient for phosphorylation and  $J_{P_s} = 0$ . The most frequently used uncouplers  
 177 are carbonyl cyanide *m*-chloro phenyl hydrazone (CCCP), carbonyl cyanide *p*-  
 178 trifluoromethoxyphenylhydrazone (FCCP), or dinitrophenol (DNP). Stepwise titration of uncouplers  
 179 stimulates respiration up to or above the level of  $\text{O}_2$  consumption rates in the OXPHOS-state; respiration  
 180 is inhibited, however, above optimum uncoupler concentrations<sup>5</sup>.

181 The abbreviation State 3u is occasionally used to indicate the state of respiration after titration of  
 182 an uncoupler, without sufficient emphasis on the fundamental difference between OXPHOS-capacity  
 183 (*well-coupled* with an endogenous uncoupled component) and ET-capacity (*noncoupled*; Fig. 2a).

184  
 185 **ROX-state versus anoxia.** The state of residual  $\text{O}_2$  consumption, ROX, is not a coupling state. The rate  
 186 of residual oxygen consumption, *Rox*, is defined as  $\text{O}_2$  consumption due to oxidative reactions measured  
 187 after inhibition of ET with antimycin A alone, or in combination with rotenone and malonic acid.  
 188 Cyanide and azide not only inhibit CIV, but also catalase and several peroxidases, whereas AOX is not  
 189 inhibited (Fig. 1b). *Rox* represents a baseline to correct respiration: *Rox*-corrected *L*, *P* and *E* are not  
 190 only lower than total fluxes, but also change the flux control ratios *L/P* and *L/E*. *Rox* is not necessarily  
 191 equivalent to non-mitochondrial respiration. This is important when considering  $\text{O}_2$ -consuming  
 192 reactions in mitochondria that are not related to ET — such as  $\text{O}_2$  consumption in reactions catalyzed  
 193 by monoamine oxidases, monooxygenases (cytochrome P450 monooxygenases), dioxygenases  
 194 (trimethyllysine dioxygenase), and several hydroxylases.

195 In the nomenclature of Chance and Williams, State 2 is induced by titration of ADP before  
 196 addition of fuel substrates<sup>15,19</sup>. ADP stimulates respiration transiently on the basis of endogenous fuel  
 197 substrates resulting in phosphorylation of a small portion of the added ADP. State 2 is then a ROX state  
 198 at minimum respiratory activity after exhaustion of endogenous fuel substrates. State 5 '*maybe obtained*  
 199 *by antimycin A treatment or by anaerobiosis*'<sup>15</sup>. These definitions give State 5 two different meanings:  
 200 ROX or anoxia.

201 Anoxia is induced after exhaustion of  $\text{O}_2$  in a closed respirometric chamber. Diffusion of  $\text{O}_2$  from  
 202 the surroundings into the aqueous solution is a confounding factor potentially preventing complete  
 203 anoxia<sup>11</sup>.

204

## 205 Rates and SI units

206

207 The term *rate* is not adequately defined to be useful for reporting data. A rate can be (1) an extensive  
 208 quantity<sup>1</sup>, termed *flow*, *I*, when expressed per chamber (instrumental system) or per countable, non-  
 209 divisible *object* (number of cells, organisms, 'in-dividuals'); or (2) a size-specific quantity, termed *flux*,  
 210 *J*, when expressed per volume or mass<sup>2</sup> (Fig. 3).

211 Different units are used to report the  $\text{O}_2$  consumption rate, OCR. SI units provide a common  
 212 reference with appropriately chosen SI prefixes<sup>1</sup>. Although volume is expressed as  $\text{m}^3$  using the SI base  
 213 unit, the liter [ $\text{dm}^3$ ] is a conventional unit of volume for concentration and is used for most solution  
 214 kinetics. Constants for conversion to SI units are summarized in Tab. 3.

215

## 216 Normalization of rate per system

217

218 **Flow: per chamber.** The instrumental system (chamber) is part of the measurement instrument,  
 219 separated from the environment as an isolated, closed, open, isothermal or non-isothermal system.  
 220 Analyses are restricted to intra-experimental comparison of relative differences, when reporting  $\text{O}_2$   
 221 flows per respiratory chamber,  $I_{\text{O}_2}$  [ $\text{nmol}\cdot\text{s}^{-1}$ ] (Fig. 3).

222  
 223 **Flux: per chamber volume.** System volume-specific O<sub>2</sub> flux,  $J_{V,O_2}$  (per liquid  $V$  of the instrumental  
 224 chamber [L]), is of methodological interest in relation to the instrumental limit of detection.  $J_{V,O_2}$   
 225 increases in proportion to sample concentration in the chamber. At an O<sub>2</sub> flow of 100 amol·s<sup>-1</sup>·cell<sup>-1</sup> and  
 226 a cell concentration of 10<sup>9</sup> cells·L<sup>-1</sup> (10<sup>6</sup> cells·mL<sup>-1</sup>),  $J_{V,O_2}$  is 100 nmol·s<sup>-1</sup>·L<sup>-1</sup> (100 pmol·s<sup>-1</sup>·mL<sup>-1</sup>).  $J_{V,O_2}$   
 227 should be independent of the chamber volume at constant sample concentration. There are practical  
 228 limitations to increasing the sample concentration in the chamber, when one is concerned about  
 229 crowding effects and instrumental time resolution.

230

### 231 **Normalization of rate per sample**

232

233 **Flow: per object.** The oxygen flow per countable object,  $I_{O_2/NX}$ , is  $I_{O_2}$  divided by the number of objects  
 234 in the chamber,  $N_X$  [x]. The oxygen flow per cell,  $I_{O_2/Nce}$ , is obtained from volume-specific O<sub>2</sub> flux,  $J_{V,O_2}$   
 235 [nmol·s<sup>-1</sup>·L<sup>-1</sup>], divided by the number concentration of cells,  $C_{Nce}$  [x·L<sup>-1</sup>].  $C_{Nce} = N_{ce}·V^{-1}$ , where  $N_{ce}$  is the  
 236 number of cells in the chamber. O<sub>2</sub> flow is expressed in units of attomole (10<sup>-18</sup> mol) of O<sub>2</sub> consumed  
 237 per second per cell [amol·s<sup>-1</sup>·cell<sup>-1</sup>]<sup>20</sup>, numerically equivalent to [pmol·s<sup>-1</sup>·10<sup>-6</sup> cells]. Generally,  $C_{NX}$  is  
 238 the experimental number concentration of sample X. Several sample types are not quantifiable  
 239 numerically, *e.g.*, tissue homogenate, in which case a sample-specific oxygen flow cannot be expressed  
 240 discretely.

241

242 **Size-specific flux: per sample size.** Mass-specific flux,  $J_{O_2/mX}$  [mol·s<sup>-1</sup>·kg<sup>-1</sup>], expresses respiration  
 243 normalized per mass of the sample. Mass-specific oxygen flux integrates the quality and density of  
 244 mitochondria, and thus provides the appropriate normalization for evaluation of tissue performance.  
 245 When studying isolated mitochondria and homogenized or permeabilized tissues and cells,  $J_{O_2/mX}$  should  
 246 be independent of the mass-concentration of the subsample obtained from the same tissue or cell culture.  
 247  $I_{O_2/Nce}$  can be directly compared only between cells of identical size. To take into account differences in  
 248 cell size, normalization is required to obtain cell size-specific flux,  $J_{O_2/mce}$  or  $J_{O_2/Vce}$ <sup>21</sup> (Fig. 3).

249

250 **Marker-specific flux: per mitochondrial content.** To evaluate differences in mitochondrial respiration  
 251 independent of mitochondrial density, flux is normalized for structural or functional mt-elementary  
 252 markers, *mtE*, expressed in marker-specific mt-elementary units [mtEU] (Fig. 3). For example, citrate  
 253 synthase (CS) activity is a frequently applied functional *mtE* expressed in international units, IU  
 254 [μmol·min<sup>-1</sup>] (1 IU of CS forms 1 μmol of citrate per min; although the SI unit [nmol·s<sup>-1</sup>] would be  
 255 preferable). Then the mtEU is taken as [μmol·min<sup>-1</sup>] or [nmol·s<sup>-1</sup>]. Volume-specific oxygen flux,  $J_{V,O_2}$   
 256 [pmol·s<sup>-1</sup>·mL<sup>-1</sup>], is divided by CS activity expressed per chamber volume [mtEU·mL<sup>-1</sup>], to obtain marker-  
 257 specific respiratory flux,  $J_{O_2/mtE}$  [pmol·s<sup>-1</sup>·mtEU<sup>-1</sup>]. Alternatively,  $J_{O_2/mtE}$  is calculated from tissue mass-  
 258 specific flux of permeabilized muscle fibers,  $J_{O_2/m}$  [pmol O<sub>2</sub>·s<sup>-1</sup>·mg<sup>-1</sup>], divided by tissue mass-specific  
 259 CS activity [mtEU·mg<sup>-1</sup>].  $J_{O_2/mtE}$  is independent of mitochondrial density. If the respirometric and  
 260 enzymatic assays are performed at an identical temperature, OXPHOS- or ET-capacity can be compared  
 261 with the capacity of CS as a regulatory enzyme in the tricarboxylic acid (TCA) cycle, which is of interest  
 262 in the context of metabolic flux control.

263 One cannot assume that quantitative changes in various markers — such as CS activity, other  
 264 mitochondrial enzyme activities or protein content — occur in parallel with one another<sup>22</sup>. It should be  
 265 established that the marker chosen is not selectively altered by the compared trait or treatment. In  
 266 conclusion, the normalization must reflect the question under investigation. On the other hand, the goal  
 267 of combining results across projects and institutions requires standardization of normalization for entry  
 268 into a databank.

269 Comparable to the concept of the respiratory acceptor control ratio,  $RCR = \text{State 3}/\text{State 4}$ ,<sup>9</sup> the  
 270 most readily applied normalization is that of flux control ratios and flux control factors<sup>8,16</sup>. Then, instead  
 271 of a specific mt-enzyme activity, the respiratory activity in a reference state serves as the *mtE*, yielding  
 272 a dimensionless ratio of two fluxes measured consecutively in the same respirometric titration protocol.  
 273 Selection of the state of maximum flux in a protocol as the reference state — *e.g.*, ET-state in *L/E* and  
 274 *P/E* flux control ratios<sup>16</sup> — has the advantages of: (1) elimination of experimental variability in  
 275 additional measurements, such as determination of enzyme activity or tissue mass; (2) statistically  
 276 validated linearization of the response in the range of 0 to 1; and (3) consideration of maximum flux for

277 integrating a large number of metabolic steps in the OXPHOS- or ET-pathways. This reduces the risk  
 278 of selecting a functional marker that is specifically altered by the treatment or pathology, yet increases  
 279 the chance that the highly integrative pathway is affected, *e.g.*, the OXPHOS- rather than ET-pathway  
 280 in case of an enzymatic defect in the phosphorylation-pathway. In this case, additional information can  
 281 be obtained by reporting flux control ratios based on a reference state that indicates stable tissue mass-  
 282 specific flux.

283

## 284 Conclusions

285

286 Clarity of concepts on mitochondrial respiratory control can serve as a gateway to better diagnose  
 287 mitochondrial respiratory adaptations and defects linked to genetic variation, age-related health risks,  
 288 sex-specific mitochondrial performance, lifestyle with its effects on degenerative diseases, and thermal  
 289 and chemical environment. The challenges of measuring mitochondrial respiratory flux are matched by  
 290 those of normalization: We distinguish between (1) the instrumental *system* or *chamber* with volume  $V$   
 291 and mass  $m$  defined by the system boundaries, and (2) the *sample* or *objects* with volume  $V_X$  and mass  
 292  $m_X$  that are enclosed in the instrumental chamber. Metabolic  $O_2$  flow per countable object increases as  
 293 the size of the object is increased. This confounding factor is eliminated by expressing respiration as  
 294 mass-specific or cell volume-specific  $O_2$  flux. The present recommendations on coupling control states  
 295 and respiratory rates are focused on studies using mitochondrial preparations. Terms and symbols are  
 296 summarized in Tab. 4. These need to be complemented by considerations on pathway control of  
 297 mitochondrial respiration<sup>7,8,23</sup>, respiratory states and rates in living cells, respiratory flux control ratios,  
 298 and harmonization of experimental procedures. The present perspective is extended in a more detailed  
 299 overview on quantitative mitochondrial physiology<sup>24</sup>.

300

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302

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### 470 **Author contributions**

471 This manuscript developed as an open invitation to scientists and students to join as coauthors in the  
472 bottom-up spirit of COST, based on a first draft written by the corresponding author, who integrated  
473 coauthor contributions in a sequence of Open Access versions. Coauthors contributed to the scope and  
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475 Coauthors confirm that they have read the final manuscript and agree to implement the  
476 recommendations into future manuscripts, presentations and teaching materials.

### 478 **Competing interests**

479 E.G. is founder and CEO of Oroboros Instruments, Innsbruck, Austria. The other authors declare no  
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481

482 **Tables**

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**Table 1 | Coupling control states and rates, and residual oxygen consumption in mitochondrial preparations.** Respiration- and phosphorylation-flux,  $J_{\text{kO}_2}$  and  $J_{\text{P}}$ , are rates, characteristic of a state in conjunction with the protonmotive force,  $pmF$ . Coupling states are established at kinetically-saturating concentrations of fuel substrates and  $\text{O}_2$ .

State	Rate	$J_{\text{kO}_2}$	$J_{\text{P}}$	$pmF$	Inducing factors	Limiting factors
LEAK	$L$	low, cation leak-dependent respiration	0	max.	back-flux of cations including proton leak, proton slip	$J_{\text{P}} = 0$ : (1) without ADP, $L(n)$ ; (2) max. ATP/ADP ratio, $L(T)$ ; or (3) inhibition of the phosphorylation-pathway, $L(O_{my})$
OXPHOS	$P$	high, ADP-stimulated respiration, OXPHOS-capacity	max.	high	kinetically-saturating [ADP] and $[P_i]$	$J_{\text{P}}$ by phosphorylation-pathway capacity; or $J_{\text{kO}_2}$ by ET-capacity
ET	$E$	max., noncoupled respiration, ET-capacity	0	low	optimal external uncoupler concentration for max. $J_{\text{O}_2, E}$	$J_{\text{kO}_2}$ by ET-capacity
ROX	$R_{ox}$	min., residual $\text{O}_2$ consumption	0	0	$J_{\text{O}_2, R_{ox}}$ in non-ET-pathway oxidation reactions	inhibition of all ET-pathways; or absence of fuel substrates

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490  
491**Table 2 | Terms on respiratory coupling and uncoupling**

Term	$J_{kO_2}$	$P \gg O_2$	Notes	
intrinsic, no protonophore added	uncoupled	$L$	0	non-phosphorylating <b>LEAK-respiration</b> (Fig. 2)
	proton leak-uncoupled		0	component of $L$ , $H^+$ diffusion across the mtIM (Fig. 2b-d)
	inducibly uncoupled		0	by UCP1 or cation ( <i>e.g.</i> , $Ca^{2+}$ ) cycling; strongly stimulated by permeability transition (mtPT); experimentally induced by valinomycin in the presence of $K^+$
	decoupled		0	component of $L$ , proton slip when protons are effectively not pumped in the redox proton pumps CI, CIII and CIV or are not driving phosphorylation ( $F_1F_0$ -ATPase) <sup>25</sup> (Fig. 2b-d)
	loosely coupled		0	component of $L$ , lower coupling due to superoxide formation and bypass of proton pumps by electron leak with univalent reduction of $O_2$ to superoxide ( $O_2^{\cdot-}$ ; superoxide anion radical)
dyscoupled		0	mitochondrial dysfunction due to pathologically, toxicologically, environmentally increased uncoupling	
noncoupled	$E$		0	ET-capacity, non-phosphorylating respiration stimulated to maximum flux at optimum exogenous protonophore concentration (Fig. 2d)
well-coupled	$P$		high	<b>OXPHOS-capacity</b> , phosphorylating respiration with an intrinsic LEAK component (Fig. 2c)
fully coupled	$P - L$		max.	<b>OXPHOS-capacity</b> corrected for LEAK-respiration (Fig. 2a)
acoupled			0	electron transfer in mitochondrial fragments without vectorial proton translocation upon loss of vesicular (compartmental) integrity

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494 **Table 3 | Conversion of units**

495 **a.** Conversion of  $O_2$  flow,  $I_{O_2}$ , to SI units ( $e^-$  is the number of electrons or reducing  
496 equivalents)

1 Unit		Multiplication factor	SI-unit
ng.atom $O \cdot s^{-1}$	(2 $e^-$ )	0.5	nmol $O_2 \cdot s^{-1}$
ng.atom $O \cdot \text{min}^{-1}$	(2 $e^-$ )	8.33	pmol $O_2 \cdot s^{-1}$
natom $O \cdot \text{min}^{-1}$	(2 $e^-$ )	8.33	pmol $O_2 \cdot s^{-1}$
nmol $O_2 \cdot \text{min}^{-1}$	(4 $e^-$ )	16.67	pmol $O_2 \cdot s^{-1}$
nmol $O_2 \cdot h^{-1}$	(4 $e^-$ )	0.2778	pmol $O_2 \cdot s^{-1}$

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498 **b.** Conversion of units with preservation of numerical values  
499

Name	Frequently used unit	Equivalent unit	Notes
volume-specific flux, $J_{V,O_2}$	pmol·s <sup>-1</sup> ·mL <sup>-1</sup>	nmol·s <sup>-1</sup> ·L <sup>-1</sup>	1
	mmol·s <sup>-1</sup> ·L <sup>-1</sup>	mol·s <sup>-1</sup> ·m <sup>-3</sup>	
cell-specific flow, $I_{O_2/N_{ce}}$	pmol·s <sup>-1</sup> ·10 <sup>-6</sup> cells	amol·s <sup>-1</sup> ·cell <sup>-1</sup>	2
	pmol·s <sup>-1</sup> ·10 <sup>-9</sup> cells	zmol·s <sup>-1</sup> ·cell <sup>-1</sup>	3
cell number concentration, $C_{N_{ce}}$	10 <sup>6</sup> cells·mL <sup>-1</sup>	10 <sup>9</sup> cells·L <sup>-1</sup>	
mitochondrial protein concentration, $C_{mtE}$	0.1 mg·mL <sup>-1</sup>	0.1 g·L <sup>-1</sup>	
mass-specific flux, $J_{O_2/m}$ volume	pmol·s <sup>-1</sup> ·mg <sup>-1</sup>	nmol·s <sup>-1</sup> ·g <sup>-1</sup>	4
	1,000 L	m <sup>3</sup> (1,000 kg)	
	L	dm <sup>3</sup> (kg)	
	mL	cm <sup>3</sup> (g)	
	μL	mm <sup>3</sup> (mg)	
amount of substance concentration	fL	μm <sup>3</sup> (pg)	5
	M = mol·L <sup>-1</sup>	mol·dm <sup>-3</sup>	

500 1 pmol: picomole = 10<sup>-12</sup> mol501 2 amol: attomole = 10<sup>-18</sup> mol502 3 zmol: zeptomole = 10<sup>-21</sup> mol

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4 nmol: nanomole = 10<sup>-9</sup> mol5 fL: femtolitre = 10<sup>-15</sup> L

**Table 4 | Terms, symbols, and units.** SI base units are used, except for the liter [L = dm<sup>3</sup>]

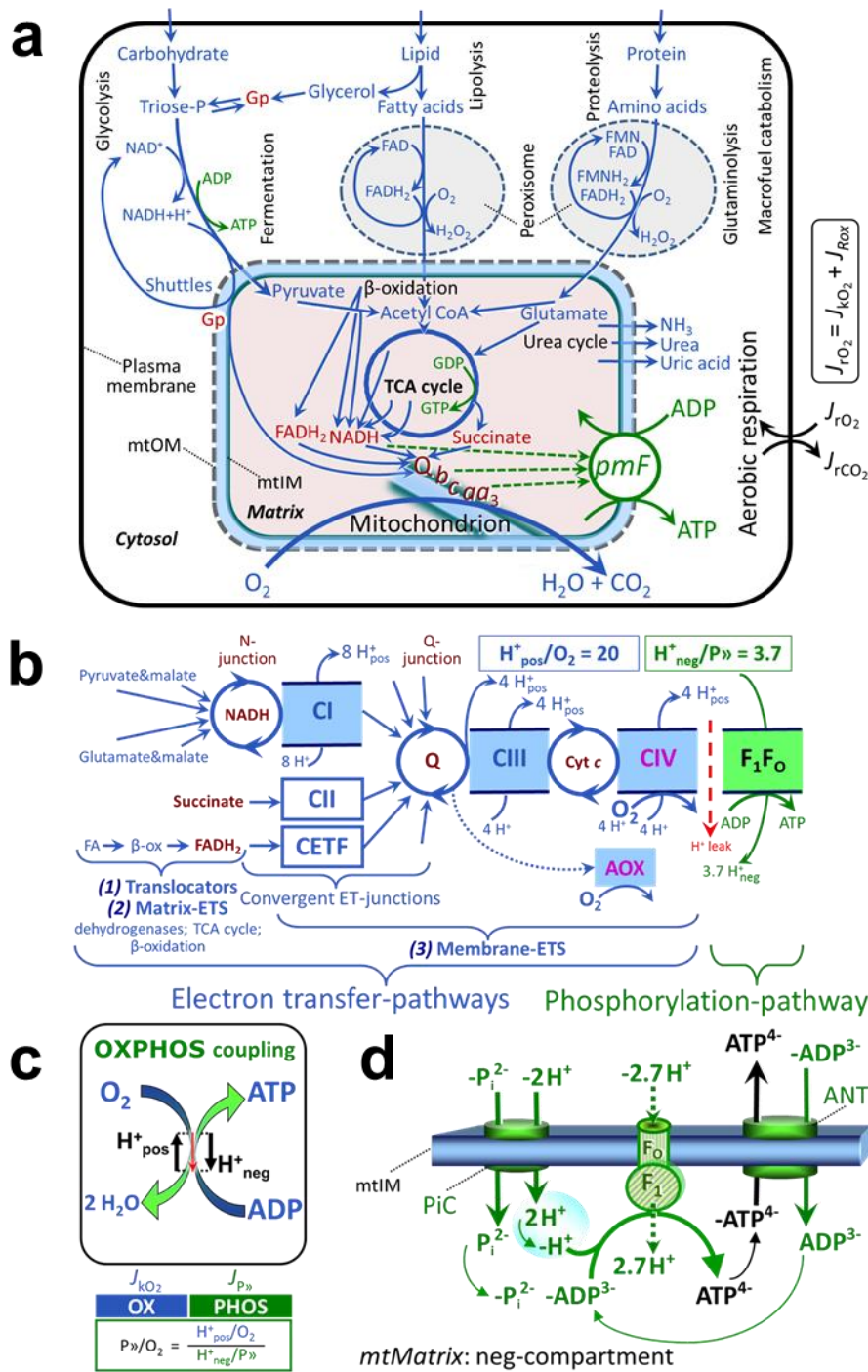
Term	Symbol	Unit	Links and comments
alternative quinol oxidase	AOX		Fig. 1b
adenosine diphosphate	ADP		Tab. 1; Fig. 1 and 2
adenosine triphosphate	ATP		Tab. 1; Fig. 1 and 2
ATP hydrolysis ATP→ADP	P <sub>«</sub>		Fig. 2b,c
catabolic reaction	k		Tab. 1 and 2; Fig. 1 and 2
catabolic respiration	$J_{kO_2}$	<i>varies</i>	Fig 1c, Fig. 2b-d
cell concentration (number [x])	$C_{N_{ce}}$	[x·L <sup>-1</sup> ]	for normalization of rate
coenzyme Q-junction	Q-junction		Fig. 1b
electron transfer Complexes	CI to CIV		Fig. 1b; F <sub>1</sub> F <sub>0</sub> -ATPase is not an ET- but a phosphorylation-pathway Complex, hence the term Complex V should not be used
electron transfer, state	ET		Tab. 1; Fig. 2a (State 3u)
electron transfer system	ETS		Fig. 1b
ET-capacity	$E$	<i>varies</i>	Tab. 1; Fig. 2a,d; rate
ET-excess capacity	$E-P$	<i>varies</i>	Fig. 2a
flow	$I$	[mol·s <sup>-1</sup> ]	Fig. 3; extensive quantity
flux	$J$	<i>varies</i>	Fig. 3; size-specific quantity
inorganic phosphate	P <sub>i</sub>		Fig. 1d
inorganic phosphate carrier	PiC		Fig. 1d
LEAK-state	<b>LEAK</b>		Tab. 1; Fig. 2a (compare State 4)
LEAK-respiration	$L$	<i>varies</i>	rate; Tab. 1; Fig. 2a,b
mass of sample or object $X$	$m_X$ or $m_{NX}$	[kg] or [kg·x <sup>-1</sup> ]	Fig. 3
mass, dry mass	$m_d$	[kg] or [kg·x <sup>-1</sup> ]	(dry weight)
mass, wet mass	$m_w$	[kg] or [kg·x <sup>-1</sup> ]	(wet weight)
mitochondria or mitochondrial	mt		compare mtDNA
mitochondrial elementary marker	$mtE$	[mtEU]	Fig. 3; quantity of mt-marker
mitochondrial elementary unit	mtEU	<i>varies</i>	Fig. 3; specific units for mt-marker
mitochondrial inner membrane	mtIM		Fig. 1 (MIM)
mitochondrial outer membrane	mtOM		Fig. 1 (MOM)
NADH-junction	N-junction		Fig. 1b
number concentration of $X$	$C_{NX}$	[x·L <sup>-1</sup> ]	for normalization of rate
number format	$\underline{N}$	[x]	Fig. 3
number of cells	$N_{ce}$	[x]	for normalization of rate
number of entities $X$	$N_X$	[x]	Fig. 3; for normalization of rate
O <sub>2</sub> concentration	$c_{O_2} = n_{O_2} \cdot V^{-1}$	[mol·L <sup>-1</sup> ]	[O <sub>2</sub> ]
O <sub>2</sub> flow per countable object	$I_{O_2/NX}$	[mol·s <sup>-1</sup> ·x <sup>-1</sup> ]	Fig. 3
O <sub>2</sub> flow per chamber	$I_{O_2}$	[mol·s <sup>-1</sup> ]	Fig. 3
O <sub>2</sub> flux, in reaction r	$J_{rO_2}$	<i>varies</i>	Fig. 1a
O <sub>2</sub> flux, volume-specific	$J_{V,O_2}$	[mol·s <sup>-1</sup> ·L <sup>-1</sup> ]	Fig. 3; per volume of chamber
O <sub>2</sub> flux, sample mass-specific	$J_{O_2/mX}$	[mol·s <sup>-1</sup> ·kg <sup>-1</sup> ]	Fig. 3; specify dry or wet mass
oxidative phosphorylation	OXPHOS		Fig. 1
OXPHOS-state	<b>OXPHOS</b>		Tab. 1; Fig. 2a (State 3 at kinetically-saturating [ADP] and [P <sub>i</sub> ])
OXPHOS-capacity	$P$	<i>varies</i>	rate; Tab. 1; Fig. 2a,c
permeability transition	mtPT		Tab. 2; MPT is widely used
phosphorylation flux ADP→ATP	$J_{P_{»}}$	<i>varies</i>	Fig. 2b-d
phosphorylation of ADP to ATP	P <sub>»</sub>		Fig. 1
P <sub>»</sub> /O <sub>2</sub> ratio	P <sub>»</sub> /O <sub>2</sub>		mechanistic $Y_{P_{»}/O_2}$ , calculated from pump stoichiometries; Fig. 1c

561	proton in the negative compartment	$H^+_{\text{neg}}$		Fig. 2b-d
562	proton in the positive compartment	$H^+_{\text{pos}}$		Fig. 1b,c; Fig. 2b-d
563	protonmotive flux to the negative			
564	compartment	$J_{\text{mH}^+\text{neg}}$	<i>varies</i>	Fig. 2d,f
565	protonmotive flux to the positive			
566	compartment	$J_{\text{mH}^+\text{pos}}$	<i>varies</i>	Fig. 2b,c,d
567	protonmotive force	$pmF$	[V]	Figures 1, 2A and 4; Table 1
568	rate of electron transfer in ET-state	$E$	<i>varies</i>	Tab. 1; ET-capacity
569	rate of LEAK-respiration	$L$	<i>varies</i>	Tab. 1; $L(n)$ , $L(T)$ , $L(O_{\text{my}})$
570	rate of oxidative phosphorylation	$P$	<i>varies</i>	Tab. 1; OXPHOS-capacity
571	rate of residual oxygen consumption	$R_{ox}$	<i>varies</i>	Tab. 1
572	residual oxygen consumption, state	ROX		Tab. 1
573	sample type	$X$		
574	substrate-uncoupler-inhibitor-			
575	titration protocol	SUIT		
576	tricarboxylic acid cycle	TCA cycle		Fig. 1a
577	volume	$V$	[L]	
578	volume format	$\underline{V}$	[L]	Fig. 3
579	volume of sample or object $X$	$V_X$ or $V_{\underline{M}X}$	[L] or $[L \cdot x^{-1}]$	Fig. 3
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582 **Figures**

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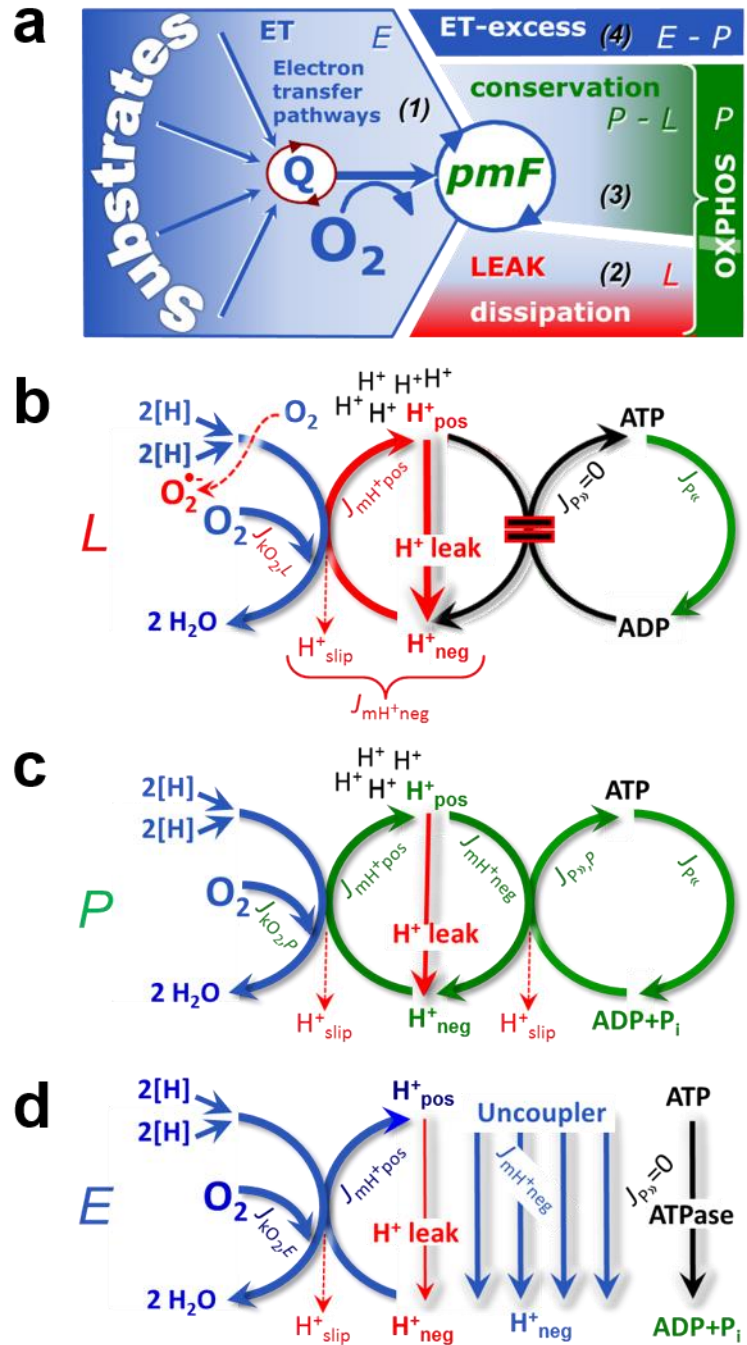
595

**Fig. 1. | Respiration and oxidative phosphorylation (OXPHOS).** (a) Cell respiration: uptake of small molecules and catabolism of macronutrients provide the mitochondrial fuel substrates (electron donors), which are oxidized with electron transfer to O<sub>2</sub> (electron acceptor). Dashed arrows indicate the connection between the redox proton pumps (respiratory Complexes CI, CIII and CIV) and the transmembrane protonmotive force, *pmF*. Coenzyme Q (Q) and the cytochromes *b*, *c*, and *aa*<sub>3</sub> are redox systems of the mitochondrial inner membrane, mtIM. Glycerol-3-phosphate, Gp. (b) Mitochondrial respiration: The mitochondrial electron transfer system (ETS) is (1) fueled by diffusion and transport of substrates across the mitochondrial outer and inner membranes (mtOM and mtIM), and in addition consists of the (2) matrix-ETS, and (3) membrane-ETS. Electron transfer converges from dehydrogenases at the NADH-junction (N-junction), and from CI,

596 CII and electron transferring flavoprotein complex (CETF) at the Coenzyme Q-junction  
597 (Q-junction). Unlabeled arrows converging at the Q-junction indicate additional ETS-  
598 sections with electron entry into Q through Gp-dehydrogenase, dihydroorotate  
599 dehydrogenase, proline dehydrogenase, choline dehydrogenase, and sulfide-ubiquinone  
600 oxidoreductase. The dotted arrow indicates the branched pathway of oxygen consumption  
601 by alternative quinol oxidase (AOX). ET-pathways are coupled to the phosphorylation-  
602 pathway. The  $H^+_{\text{pos}}/O_2$  ratio is the outward proton flux from the matrix space to the  
603 positively (pos) charged vesicular compartment, divided by catabolic  $O_2$  flux in the NADH-  
604 pathway<sup>26</sup>. The  $H^+_{\text{neg}}/P_{\gg}$  ratio is the inward proton flux from the inter-membrane space to  
605 the negatively (neg) charged matrix space, divided by phosphorylation flux of ADP to ATP.  
606 These stoichiometries are not fixed because of ion leaks and proton slip. Modified from  
607 ref. <sup>27</sup>. **(c) OXPHOS-coupling:** The  $H^+$  circuit couples  $O_2$  flux through the catabolic  
608 ET-pathway,  $J_{kO_2}$ , to flux through the phosphorylation-pathway of ADP to ATP,  
609  $J_{P_{\gg}}$ . **(d) Phosphorylation-pathway:** the proton pump  $F_1F_0$ -ATPase (F-ATPase, ATP  
610 synthase), adenine nucleotide translocase (ANT), and inorganic phosphate carrier (PiC).  
611 The  $H^+_{\text{neg}}/P_{\gg}$  stoichiometry is the sum of the coupling stoichiometry in the F-ATPase  
612 reaction ( $-2.7 H^+_{\text{pos}}$  from the positive intermembrane space,  $2.7 H^+_{\text{neg}}$  to the matrix, *i.e.*, the  
613 negative compartment) and the proton balance in the translocation of  $ADP^{3-}$ ,  $ATP^{4-}$  and  $P_i^{2-}$   
614 (negative for substrates) <sup>12</sup>. Modified from ref. <sup>8</sup>.  
615



616 **Fig. 2 | Respiratory states and**  
 617 **rates. (a)** Four-compartment model  
 618 of oxidative phosphorylation:  
 619 respiratory states (ET, OXPHOS,  
 620 LEAK) and corresponding rates ( $E$ ,  
 621  $P$ ,  $L$ ) are connected by the  
 622 protonmotive force,  $pmF$ . (1) ET-  
 623 capacity,  $E$ , is partitioned into (2)  
 624 dissipative LEAK-respiration,  $L$ ,  
 625 when the Gibbs energy change of  
 626 catabolic  $O_2$  flux is irreversibly lost,  
 627 (3) net OXPHOS-capacity,  $P-L$ , with  
 628 partial conservation of the capacity  
 629 to perform work, and (4) the ET-  
 630 excess capacity,  $E-P$ . (b) **LEAK-**  
 631 **rate,  $L$** : Oxidation only, since  
 632 phosphorylation is arrested,  $J_{P\gg} = 0$ ,  
 633 and catabolic  $O_2$  flux,  $J_{kO_2,L}$ , is  
 634 controlled mainly by the proton  
 635 leak and slip,  $J_{mH^{+}neg}$  (motive,  
 636 subscript m), at maximum  
 637 protonmotive force. ATP may be  
 638 hydrolyzed by ATPases,  $J_{P\ll}$ ; then  
 639 phosphorylation must be blocked.  
 640 (c) **OXPHOS-rate,  $P$** : Oxidation  
 641 coupled to phosphorylation,  $J_{P\gg}$ ,  
 642 which is stimulated by  
 643 kinetically-saturating [ADP] and  
 644 [ $P_i$ ], supported by a high  
 645 protonmotive force maintained  
 646 by pumping of protons to the  
 647 positive compartment,  $J_{mH^{+}pos}$ .  $O_2$   
 648 flux,  $J_{kO_2,P}$ , is well-coupled at a  
 649  $P \gg O_2$  flux ratio of  $J_{P\gg,P}/J_{O_2,P}$ .  
 650 Extramitochondrial ATPases may  
 651 recycle ATP,  $J_{P\ll}$ . (d) **ET- rate,  $E$** :  
 652 Oxidation only, since  
 653 phosphorylation is zero,  $J_{P\gg} = 0$ ,  
 654 at optimum exogenous uncoupler  
 655 concentration when noncoupled  
 656 respiration,  $J_{kO_2,E}$ , is maximum. The  $F_1F_0$ -ATPase may hydrolyze ATP entering the  
 657 mitochondria. Modified from ref. <sup>8</sup>.  
 658



The  $F_1F_0$ -ATPase may hydrolyze ATP entering the mitochondria. Modified from ref. <sup>8</sup>.

659 **Fig. 3 | Different meanings of**  
 660 **rate: flow and flux dependent on**  
 661 **normalization for sample or**  
 662 **instrumental chamber.**

663 Fundamental distinction between  
 664 metabolic rate related to the  
 665 experimental sample (left) or to  
 666 the instrumental chamber (right).  
 667 Left: Results are expressed as  
 668 mass-specific *flux*,  $J_{mX}$ , per mg  
 669 protein, dry or wet mass. Cell  
 670 volume,  $V_{ce}$ , may be used for  
 671 normalization (volume-specific  
 672 flux,  $J_{Vce}$ ). Normalization per  
 673 mitochondrial elementary marker,  
 674 *mtE*, relies on determination of mt-  
 675 markers expressed in various  
 676 mitochondrial elementary units [mtEU]. Right: Flow per instrumental chamber,  $I$ , or flux per chamber  
 677 volume,  $J_V$ , are reported for methodological reasons.  
 678

